

## **1-2 Roles & Responsibilities**

All project stakeholders must work as a team to successfully develop and construct complex transportation projects. To achieve this goal, stakeholders must have an understanding of their own role and responsibility in state highway projects as well as those of the others. Roles and responsibilities of the main project stakeholders, particularly as they apply towards projects that involve oversight from the Office of Special Funded (OSFP) projects, are discussed below.

### **General Roles and Responsibilities**

One primary role and responsibility all project stakeholders share is to develop projects in accordance to Caltrans procedures, standards and policies. This is a legislative borne requirement which enables Caltrans to provisionally allow others to perform work on the State Highway while at the same time ensuring quality projects and maintaining protection from tort liability. The need to meet Caltrans standards is clearly spelled out in the following excerpt from the Project Development Procedures Guide:

“All improvements to State highways are considered to be Caltrans projects. This applies even if the project will be financed by others. As owner-operator of these transportation facilities, Caltrans is responsible for operation, maintenance, and tort liability after construction. Caltrans is also responsible for providing for the authorized expansion of the system and for assessing the impact of improvements proposed by others to the existing system.

To ensure that transportation facilities are well designed, safe, and properly constructed, all project planning, design, right-of-way acquisition, and construction should be performed in accordance with Caltrans standards and practices and according to Caltrans project development process.”

This excerpt is rooted in law through various codes and statutes--some of which are paraphrased below. These are shown to help illustrate the legal authority for Caltrans to allow others to perform work on state highways and still maintain the level of quality and legal position as if it were a Caltrans project:

- Streets & Highway Code Section 116: Allows Caltrans to delegate any powers and jurisdiction vested by law, however, the power of approval remains with the Caltrans.



- Streets & Highway Code Section 137: Provides Caltrans with the sole responsibility to determine the kind, quality, and extent of all highway work under its control and approval authority.
- Government Code Section 830.6: Provides relief from liability to public entities for those projects that have been approved as conforming to the standards established by the Caltrans.

An understanding of the need to comply with Caltrans standards gives project stakeholders a context for how State Highway Projects must be developed and constructed and points the project team in a clearly defined direction toward solving the transportation need.

### Specific Stakeholder Roles and Responsibilities

For quality projects to be developed efficiently, project stakeholders must understand their own roles and responsibilities and that of the other stakeholders so everyone's expectations, accountabilities, and probable courses of action are predictable and can be relied upon as much as possible.

Following is a list of roles and responsibilities associated with the main project stakeholders. The list is not all-inclusive and is meant to briefly capture roles and responsibilities as they relate in particular to projects that involve OSFP oversight.

#### Sponsoring Agencies

- Propose projects to the appropriate District staff.
- Ensure that Caltrans participates in the develop of the "Statement of Work."
- Ensure that Caltrans participates in the Consultant Selection process.
- Provide sufficient resources to ensure that projects can be developed to meet Caltrans standards.
- Work with Districts to determine Advertise, Award, and Administer (AAA) responsibility early in the design phase.
- Designate a person as a focal point for the project.
- Work with Consultants, Districts, and OSFP to develop schedules that provide the appropriate duration for review, and approval.
- Ensure consultant availability through construction completion, including construction support and completion of project as-builts.



### Caltrans Districts

- Provide the OSFP Liaison Engineer with early notification that sponsored projects involving structures are under consideration.
- Designate District focal points and contacts for each project.
- Work with the Sponsoring Agency and the OSFP Liaison Engineer to develop the “Statement of Work.”
- Ensure that OSFP Liaison Engineer participates in Consultant selection for projects involving structures.
- Work with Sponsoring Agencies to determine AAA responsibility early in the design stage.
- Ensure that the project schedules appropriately reflect achievable milestones and the review duration for Engineering Services portions of the work are properly incorporated.
- Provide the OSFP Liaison Engineer with the current project schedule and with any proposed schedule revisions.
- Ensure that the structures portion of the projects have the proper resources.
- Provide project oversight from project inception to construction completion.

### Consultants

- Designate focal points and project contacts for the project.
- Must have knowledge of and comply with Caltrans project development procedures.
- Provide staff that has the knowledge, training, and experience to meet the needs of the project.
- Provide cost effective solutions that meet the needs and purpose of the project.
- Establish, maintain, and adhere to an effective Quality Control Plan.
- Provide A&E services and products that are complete, accurate, and meet current Caltrans Standards.
- Provide high quality deliverables.
- Meet scheduled delivery dates for all deliverables.
- Provide support services for the construction phase of the projects, including completion of the As-built plans.



### Office of Special Funded Projects

- Provide Liaison & Oversight to each District and local agencies for Special Funded Projects from project inception until construction completion.
- Provide single point of contact for all of Engineering Services.
- Work with Districts and sponsoring agencies to pre-scope projects
- Participate in Consultant Selection
- Provide reviews at all stages of the project to ensure that Caltrans standards are met.
- Approve final PS&E.
- Establish and maintain a liaison relationship with the construction stakeholders.
- Review and approve Cost Reduction Incentive Proposals.
- Review and approve Contract Change Orders involving the structure portions of work.
- Ensure As-built plans have been completed by the Consultant and submitted.

An understanding of roles and responsibilities with regular interaction among the project stakeholders will help ensure that quality projects are developed efficiently with a minimum number of setbacks.